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The purpose of M&O is to continue operational support of the system in production, including periodic maintenance, fixes and changes, until the system is replaced or retired.

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M&O M0 - PreInitiation

[Main](#) [M1](#) [M2](#) [M3](#) [M4](#) [M5](#) [M6](#)

The purpose of M&O Pre-Initiation is to ensure the M&O organization is prepared to operate and maintain the system. This includes reviewing the participants, roles and responsibilities with all stakeholders, verifying the appropriate plans and processes are in place, and ensuring the Change Control Process is in place and understood.

An [M&O Charter](#) should be created to define the vision and scope for the continued operations of the system. The charter identifies the short-term and long-term plan for the system and identifies the key participants in the M&O phase. The [Governance Plan](#) should be updated to reflect the new roles and responsibilities for participants. The [Master Project Plan](#) from the acquisition phase is updated and becomes the [M&O Plan](#) describing how the M&O phase will be managed, tracked and controlled.

The [Change Control Process](#) is continuous throughout the M&O phase to ensure all identified defects and enhancements are reviewed, analyzed, tracked, and implemented in a controlled manner. Approved change requests from the Change Control Process become candidates for inclusion in the next block cycle/version release (depending on the amount of time and resources needed to develop and implement the change).

The budget and initial staffing for the M&O phase **must** have been planned for and requested during the Acquisition phase, usually via an IAPD/IAPDU. During M&O Pre-Initiation, these items are confirmed and any discrepancies or additional needs are identified and corrective actions initiated, as appropriate. Funding for the M&O phase is usually structured using a fixed number of authorized hours of contractor work or a fixed amount of money for changes. Additional funding for [large scale requests](#) or for additional Project Office resources must be requested through the [IAPD/IAPDU](#) and [BCP](#) processes.

The Project Office should perform the following activities during M&O Pre-Initiation:

1. Review the [M&O strategy/M&O Plan](#) and budget. Ensure the [Contractor Billing/Invoice Approval](#), [Change Control Process](#), and the [Work Order Authorization](#) processes are clearly documented and agreed to with the contractor.
2. Meet with the stakeholders to discuss expectations for M&O, and their roles and responsibilities.
 - Update the [Communications Plan](#), [Governance Plan/Inter-Agency Agreements](#), [Memorandums of Understanding](#), etc., as necessary.
3. Review the [management/development standards and processes from the Acquisition phase](#) and tailor or update them, as necessary. The items listed below are the [minimum](#) that should be reviewed and updated.
 - Review and update the [QA and IV&V strategy/plans](#) and assigned roles.
 - Review and update the [Test and Evaluation strategy/plan](#) and assigned roles.
 - Review and update the [Implementation strategy/plans](#) and assigned roles.
 - Review and update the [Configuration Management Plan](#) and assigned roles.
 - Update the participants and roles for the [Change Control Process](#) and Change Control Board to address the different needs of M&O (such as the greater involvement of the user than during the Acquisition phase).
 - Add a stronger emphasis on tracking the amount of contractor hours/dollars allocated and spent for each change and each block cycle/system release.
 - Ensure there is a method for handling each of the following types of changes
 - Moves/Adds/Changes (MACs)
 - Quick Fixes

- Optimization/Innovations
 - Emergency Repairs/Fixes
 - Urgent Requests
 - Technology Refreshes
 - Routine Changes
- Review and update the [Risk Management Plan](#) and assigned roles. Conduct a risk assessment to identify current [risks to M&O](#).
- Review and update the [Contract Management Plan](#) and assigned roles.
- 3. Create a new area/folder in the [Issue/Action Tracking system](#), [Risk Tracking systems](#), and [Document Management system](#) to track items specific to the M&O phase.
- 4. Review [staffing](#) and [infrastructure](#) needs which may have changed since the Acquisition. Begin BCP/IAPD planning to request any additional resources.
 - Ensure there is a [customer liaison](#) and/or a [customer support group](#).
 - Determine if all needed skill sets are available, if additional staff are needed, or if additional training is needed to fill gaps.
- 5. Conduct [launch meeting](#) with staff and stakeholders to provide an overview of revised plans/processes, particularly the Change Control Process, and how block cycles/system releases will be performed.
- 6. Review M&O contractor's management plans/processes and standards for completeness and adherence to the project standards and agreed upon industry standards.

M&O Pre-Initiation is complete when the M&O staff and infrastructure are in place, all stakeholders have agreed to the updated roles and responsibilities, and operational plans and processes have been established/updated.

Expected Deliverables

The following deliverables are the responsibility of the project office for this milestone. Deliverables (as listed below) are intended to be final versions which are required to exit the phase.

- Overall Workplan with allocation of hours/dollars to block cycles
- [M&O Charter](#)
- [Updated Governance Plan](#)
- [Project Management Plan/M&O Plan](#)
 - [Updated Communication Plan](#)
 - [Updated Risk Management Plan](#)
 - [Updated Quality Assurance Plan](#)
 - [Updated Configuration Management Plan](#)
 - and other plans, as appropriate
- [Documentation](#), [Design](#), [Coding](#), and [Testing](#) Standards

Interim Work Products

Interim Work Products are preliminary versions of deliverables which are due in a future phase. For example, in the Requirements phase a preliminary Test Plan is submitted, but the final deliverable is not required until the Design phase.

- None

Activities and Key Decisions

- Conduct a [phase launch meeting](#) to review lessons learned and new processes and procedures for this phase to ensure all staff are aware of expectations and changes to procedures.
- Update the list of authorized decision makers, such as for authorizing a new block cycle/system release and for authorizing emergency fixes/changes (include updates in the [Governance Plan/IAA](#)).
- Review and re-affirm [escalation process](#) and roles (include any updates in the Governance Plan/IAA).
- Review the system documentation from the [acquisition phase](#). Ensure it is current and reflects the actual system delivered.
- Review the inventory/asset management documentation/tool from the Acquisition phase. Ensure it is current and reflects the actual items delivered, the current warranties and licenses.
- Review any other tools from the Acquisition phase and determine if new tools are appropriate. Determine if data conversion programs or tools are needed for the migration, and if any new tools are needed.
- Verify the [help desk\(s\)](#) is operational and [problem resolution/escalation processes](#) are in place.
- Verify the operational plans/processes for normal monitoring of the system are in place.
 - Backup and Recovery Processes
 - [Business Continuity and Recovery Processes](#)
 - Batch Processes and Batch Processing Timelines
 - Performance Monitoring and Metrics Collection
 - Performance Modeling and Analysis
 - Equipment Maintenance Processes and Schedule

Samples and Supporting Materials

- [M&O Phase Launch Meeting Agenda](#) (MS Word)


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Maintenance and Operations (M&O) Strategy

[M&O Main](#)

The M&O strategy defines the general approach for maintenance and operations activities. The intent of the M&O Strategy is to identify the assumptions and establish the framework for the M&O section of the Request for Proposal. The Strategy should identify the activities that you expect the Contractors to address in their proposals and to re-affirm within the organization the strategy to be used for M&O activities once the project is completed.

The strategy should define how the project office expects to divide M&O responsibilities between the State and Contractor(s). Once the Contract is awarded, the Contractor and/or State will develop a detailed [M&O Plan](#) that must be consistent with this strategy. Typical M&O issues include:

M&O Responsibilities. Who is responsible for performing what activities? Consider the following organizations: project staff, HHSDC operations staff, prime contractor, subcontractor, county staff, sponsor staff, outsourced consultants.

Transition Activities. Once the system is put into production, who has the primary responsibility for the system? Is the prime contractor initially responsible as part of the acquisition contract? If not, how will the transition of responsibilities be performed?

Training. If the prime contractor is not responsible for the M&O activities, has sufficient time and training been provided for each of the staff and staffing levels? What are the State and Contractor's roles for training on the new system? What are the user classes? How many people will need training in each class? What type of training will they need? Is on-the-job training and mentoring included to allow hands-on learning?

Knowledge Transfer. If the prime contractor is not responsible for the M&O activities, have sufficient time and opportunities been provided for each of the staff and staffing levels to learn from the contractor? A period of 6-12 months is generally recommended so that staff may experience a complete year's processing including peaks/valleys and end of the year processing activities.

Change Control. How will changes to the system be handled? What is the process and how are each of the participants involved? Who is responsible for analysis and approvals?

Day-to-Day Operations. How will day-to-day operations be handled and by whom? What is the process and who is responsible for resolution of any problems?

Maintenance. How will maintenance activities be handled and by whom? What is the process and who is responsible for scheduling and notifications of the work?

Help Desk Procedures. Will Contractor and/or State staff maintain the help desk? Are third-party vendors also involved? When must help desk services be available? What is the expected response time? If there are multiple help desks (for instance, county and state help desks), what is the escalation process and problem closure process?

Sample:

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Maintenance and Operations (M&O) Risks

[M&O Main](#)

Some of the common [M&O Pre-Initiation](#) risks include:

- Insufficient or inaccurate documentation and procedures inherited from the development effort
- Insufficient knowledge of the system by the M&O staff
- Insufficient staffing for the M&O phase
- Loss of knowledgeable staff from the development phase
- Insufficient funding to support legislative mandates and changes to user business needs
- Resistance from stakeholders and users if they feel the system does not meet their needs, or if they were inadequately involved in the development process
- Insufficient support or participation from the program sponsor/organization or stakeholders since the system is now developed (they may have other higher priorities now that the system is in M&O)
- Difficulty transitioning from a development mindset to an M&O mindset, particularly if the contractor is continuing in the M&O phase

Other common M&O risks include:

- Tracking versions and releases at the development site and various county sites
- Balancing user needs within the counties to prevent one group from dictating their needs to the whole community
- Balancing user needs with the available funding
- Keeping the program sponsor/organization engaged and involved in policy and system decisions
- Obtaining sufficient funding for technology refreshes, changing user needs, and legislative mandates
- Keeping knowledgeable staff

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Roles and Responsibilities for the Executive Customer Liaison

The Customer Liaison is responsible for ensuring the customer is kept informed and involved in the project. The Liaison is the focal point for user and customer questions and concerns, and is responsible for coordinating activities between the project and the customer.

	Executive Customer Liaison	Project Need?	
		Yes	No
1	Assist in Stakeholder communication and issue resolution		
2	Represent user interests to project		
3	Communicate high-level project goals to users		
4	Participate in planning and management meetings		

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Roles and Responsibilities for the Customer Services Manager

The Customer Services Manager is responsible for coordinating all customer support issues and efforts with the M&O Contractor and project staff, at both the State and County level.

	Customer Services Manager	Project Need?	
		Yes	No
1	Manage user training and communication areas.		
2	Monitor M&O Contractor customer services.		
3	Coordinate customer service issues with State and County users.		
4	Manage customer communications.		
5	Perform customer service tasks.		



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Business Continuity Plan

The Business Continuity Plan describes what actions and decisions are needed to ensure critical business operations will continue in the event of a disaster or facility problem. The plan should discuss who has the authority to initiate the activities described in the plan, which operations should be continued, and how to re-establish the operations. While a [Disaster Recovery Plan](#) focuses on the facilities and basic infrastructure, the Business Continuity Plan focuses on the impacts to the business and the users/clients.

Be aware that the term "emergency" generally is viewed as a natural disaster, war, or man-made type disaster (e.g., riots), and in these circumstances there are laws and state regulations which take effect. There may be situations where there is a project emergency that does not fit this definition, but must still be handled. The procedures for handling these two situations will be different. Handling of project emergencies is usually described in the Business Continuity Plan.

Outline:

- [Business Continuity Plan Outline](#) (MS Word)